

DOCKET NO.: MSFT-1782/303313.01

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Jason S. Brownell, Et Al.

Serial No.: 09/773,256

Filing Date: 1/30/01

For: Security Mechanism For Computer Processing Modules

Confirmation No.: 4315

Group Art Unit: 2131

Examiner: To Be Assigned

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MAR 03 2003

Technology Center 2100

DATE OF DEPOSIT: \_\_\_\_\_

I HEREBY CERTIFY THAT THIS PAPER IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL, POSTAGE PREPAID, ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO THE COMMISSIONER OF PATENTS AND TRADEMARKS, WASHINGTON, DC 20231.

\_\_\_\_\_  
TYPED NAME: Steven J. Rocci  
REGISTRATION NO.: 30,489

Box DSD

Commissioner for Patents and Trademarks  
Washington, DC 20231

POWER OF ATTORNEY WITH REVOCATION

Revoking any and all powers of attorney heretofore given in the matter of the above-entitled application, the undersigned, assignee of the entire interest in the above-identified application, hereby appoints Steven J. Rocci, Registration No. 30,489, of Philadelphia, Pennsylvania, as attorney, with full power of substitution and revocation, to prosecute this application, to make alterations and amendments therein, to receive the patent, and to transact all business in the Patent and Trademark Office connected therewith.

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AUG 18 2003

OFFICE OF PETITIONS

**Send all future correspondence and address all telephone calls to:**

Steven J. Rocci  
WOODCOCK WASHBURN LLP  
One Liberty Place - 46th Floor  
Philadelphia, PA 19103  
Telephone: (215)568-3100

In addition, the assignee also appoints the following attorneys listed below of  
**MICROSOFT CORPORATION, One Microsoft Way, Redmond, Washington 98052**  
with full power of substitution and revocation, to prosecute this application, to make  
alterations and amendments therein, to receive the patent, and to transact all business in the  
Patent and Trademark Office connected therewith.

**Daniel D. Crouse**

**Registration No. 32,022**



A Statement under 37 CFR § 3.73(b) and copies of relevant documents accompany  
this Revocation of Power of Attorney.

Respectfully submitted,



(Signature)

Date:

Name: Daniel D. Crouse  
Title: Assistant Secretary  
Microsoft Corporation

DOCKET NO.: MSFT-1782/303313.01

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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In Re Application of:

Jason S. Brownell, et al.

Confirmation No.: 4315

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Serial No.: 09/773,256

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Filing Date: January 30, 2001

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For: Security Mechanism For Computer Processing Modules

Commissioner of Patents and Trademarks  
Washington DC 20231

STATEMENT UNDER 37 CFR § 3.73(b)

Microsoft Corporation, a corporation of the State of Washington, states that it is:

- ☒ the assignee of the entire right, title, and interest; or  
☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of:

A. ☐ An assignment from the inventor(s) of the patent application/patent identified above.

- ☐ 1. The assignment was recorded in the Patent and Trademark Office at Reel, Frame(s)  
☐ 2. The assignment has not yet been recorded. A copy of the assignment is attached.

B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

- i. From: Jason S. Brownell, Steven T. Ansell, Perry T. Devine, Earl Levine To: Liquid Audio, Inc. The document was recorded in the Patent and Trademark Office at Reel 012077, Frame(s) 0488, or for which a copy thereof is attached.
- ii. From: To: The document was recorded in the Patent and Trademark Office at Reel , Frame(s) , or for which a copy thereof is attached.
- iii. From: Liquid Audio, Inc. To: Microsoft Corporation for which a copy thereof is attached.

RECEIVED

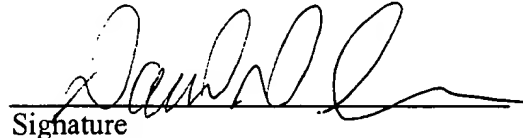
AUG 18 2003

OFFICE OF PETITIONS

- ☐ Additional documents in the chain of title are listed on a supplemental sheet.
- ☐ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

Date: 2/18/2003

  
Signature

Name: Daniel D. Crouse  
Title: Assistant Secretary  
Microsoft Corporation

Woodcock Washburn LLP  
One Liberty Place - 46th Floor  
Philadelphia, PA 19103  
Telephone: (215) 568-3100  
Facsimile: (215) 568-3439



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

OCTOBER 20, 2001

PTAS



\*101817268A\*

LAW OFFICES OF JAMES D. IVEY  
JAMES D. IVEY  
3025 TOTTERDELL STREET  
OAKLAND, CA 94611-1742

UNITED STATES PATENT AND TRADEMARK OFFICE  
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THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 08/06/2001

REEL/FRAME: 012077/0488  
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

BROWNELL, JASON S.

DOC DATE: 06/12/2001

ASSIGNOR:

ANSELL, STEVEN T.

DOC DATE: 06/12/2001

ASSIGNOR:

DEVINE, PERRY T.

DOC DATE: 06/19/2001

ASSIGNOR:

LEVINE, EARL

DOC DATE: 06/25/2001

ASSIGNEE:

LIQUID AUDIO, INC.  
2221 BROADWAY  
REDWOOD CITY, CALIFORNIA 94063

SERIAL NUMBER: 09773256  
PATENT NUMBER:

FILING DATE: 01/31/2001  
ISSUE DATE:

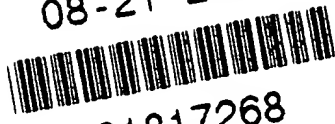
012077/0488 PAGE 2

PAULA MCCRAY, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS



REC

08-21-2001

101817268  
PATENTS ONLY

SHEET

To the Hon. Commissioner of Patents & Trademarks: Please record the attached original documents

1. Name of conveying party(ies):

JASON S. BROWNELL  
STEVEN T. ANSELL  
PERRY T. DEVINE  
EARL LEVINE

8-601

2. Name and address of receiving party(ies):

Name: LIQUID AUDIO, INC.

Street Address: 2221 Broadway

City: Redwood City State: CA Zip: 94063

Additional name(s) of conveying party(ies)

attached? Yes ☒ No

3. Nature of Conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other

Execution Date: June 25, 2001

Additional name(s) &amp; addresses attached?

Yes ☒ No

4. Application Number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s) 09/773,256 B. Patent No.(s)

Filed: January 30, 2001

Additional numbers attached? Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed

Name: LAW OFFICES OF JAMES D. IVEY

Street Address: 3025 TOTTERDELL STREET

City: OAKLAND State: CA Zip: 94611-1742

6. Total number of applications and patents involved 1

7. Total fee(37CFR3.41) \$ 40.00

☒ Enclosed☐ Authorized to be charged to deposit account.

8. Deposit Account Number -

(Attach duplicate copy of this page if paying by Deposit Account)

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

James D. Ivey

Name of Person Signing

Signature

Date August 2, 2001

Total number of pages comprising cover sheet: 1

Mail documents to be recorded with required cover sheet information to:

Hon. Commissioner of Patents and Trademarks

Box: Assignments

Washington, D.C. 20231

ASSIGNMENT

For good and valuable consideration, receipt of which is hereby acknowledged, we, Jason S. Brownell of San Francisco, California, Steven T. Ansell of Fremont, California, Perry T. Devine of Brookings, Oregon, and Earl Levine of Palo Alto, California, hereby sell, assign, and transfer to Liquid Audio, Inc., a California corporation, having a place of business at 2221 Broadway, Redwood City, California 94063, its successors and assigns, the entire right, title, and interest through the world in our invention in:

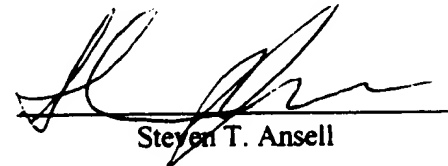
SECURITY MECHANISM FOR COMPUTER PROCESSING MODULES

for which we have made a United States Utility Patent Application, Serial Number 09/773,256, filed on January 30, 2001 and all patent applications and patents of every country for said invention, including divisions, reissues, continuations, and extensions thereof, and all rights of priority resulting from the filing of said applications; we authorize the above-named assignee to apply for patents of foreign countries for said invention, and to claim all rights of priority without further authorization from us; we agree to execute all papers useful in connection with said United States and foreign applications, and generally to do everything possible to aid said assignee, their successors, assigns, and nominees, at their request and expense, in obtaining and enforcing patents for said invention in all countries; and we request the Commissioner for Patents and Trademarks to issue all patents granted for said invention to the above-named assignee, its successors, and assigns.

Executed this 12 day of June, 2001.  
day month year

  
Jason S. Brownell

Executed this 12 day of June, 2001.  
day month year

  
Steven T. Ansell

Executed this 19 day of June, 2001.  
day month year

  
Perry T. Devine

Executed this 25 day of June, 2001.  
day month year

  
Earl Levine



# COPY

**RECORDATION FORM COVER SHEET - PATENTS ONLY**

BOX ASSIGNMENT

COMMISSIONER OF PATENTS AND TRADEMARKS

WASHINGTON, D.C. 20231

1. Total number of pages including cover sheet, attachments and document: 9

2. Name of Conveying Party(ies) and Execution Date(s) of Document(s) ☐ Check here if additional name(s) attached

Name(s): Liquid Audio

Execution Date(s): September 27, 2002

3. Name and address of receiving party

☐ Check here if additional name(s) & address(es) are attached

Name Microsoft Corporation

Address One Microsoft Way

City Redmond

State/Country Washington

Zip 98052

4. Nature of Conveyance

☒ Assignment☐ Merger☐ Security Agreement☐ Name Change☐ Other:

5. Total number of applications and patents involved: 28

6. Total Fee Enclosed (37 C.F.R. § 3.41): \$1,120.00

7. ☒ Check here if any deficiency/overpayment is authorized to be charged to deposit account 02-4550

8. Enter either the Execution date (of the Declaration and Power of Attorney), Application Number, or the Patent Number. Do not enter more than one number for the same patent.

A. ☐ This document is being filed with a new application. Execution date is: \_\_\_\_\_B. ☒ Patent Application No.(s) or Patent No.(s): 08/966,072☒ Check here if additional numbers are attached

9. Correspondent's name, address, and telephone number

Stephen A. Wight

Klarquist Sparkman, LLP

One World Trade Center, Suite 1600

121 S.W. Salmon Street

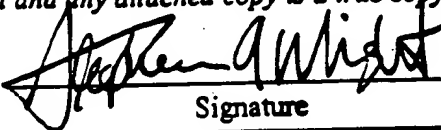
Portland, Oregon 97204-2988

Telephone: 503-226-7391

10. ☒ Please return the attached postcard to confirm that these items have been received.11. Statement and signature *To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

Stephen A. Wight

Name of Person Signing



Signature

December 16, 2002

Date

**RECORDATION FORM COVER SHEET - PATENTS ONLY  
CONTINUATION SHEET****12. Additional Patent number(s) or Patent Application number(s).**

Enter either the Application Number or the Patent Number. Do not enter both numbers for the same property.

U.S. Patent No. 5,852,800

U.S. Patent No. 6,121,904

U.S. Patent No. 6,028,541

U.S. Patent No. 6,118,392

U.S. Patent No. 6,043,763

U.S. Patent No. 6,125,348

U.S. Patent No. 6,330,673

U.S. Patent No. 6,209,094

U.S. Patent No. 6,345,100

U.S. Patent No. 6,320,965

U.S. Patent No. 6,219,634

U.S. Patent No. 6,151,631

U.S. Patent No. 6,266,644

U.S. Patent No. 6,330,675

U.S. Patent No. 6,367,019

U.S. Patent No. 6,385,596

U.S. Application No. 09/522,061

U.S. Application No. 09/289,513

U.S. Application No. 09/551,260

U.S. Application No. 09/389,842

U.S. Application No. 09/468,279

U.S. Application No. 09/645,014

U.S. Application No. 09/645,013

U.S. Application No. 09/773,256

U.S. Provisional Application No. 60/353,581

PCT Application No. WO 2000/US08118

PCT Application No. WO 2000/US28205

PCT Application No. WO 2002/US01746

## **Exhibit A to Asset Purchase Agreement**

### **ASSIGNMENT**

**WHEREAS, LIQUID AUDIO, a Delaware Corporation, (hereinafter referred to as "Assignor") owns all right, title and interest in and to the inventions, patents and patent applications (hereinafter referred to as the "Intellectual Property") identified in Exhibit B attached hereto; and**

**WHEREAS, MICROSOFT CORPORATION, a Washington Corporation, (hereinafter referred to as "Assignee"), is desirous of acquiring the entire domestic and foreign right, title, and interest in and under the Intellectual Property.**

**NOW, THEREFORE, for good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignor assigns and transfers to the Assignee and the Assignee's legal representatives, successors and assigns, pursuant to the terms of a concurrently executed Asset Purchase Agreement, its full and exclusive rights in and to the Intellectual Property in the U.S. and every foreign country and its entire right, title, and interest in and to the Intellectual Property and related applications (e.g., provisional applications, non-provisional applications, continuations, continuations-in-part, divisionals, reissues, reexaminations, National phase applications, including petty patent applications, and utility model applications) that may be filed in the United States and every foreign country on the Intellectual Property, and extensions or derivations thereof, both foreign and domestic, that may issue thereon, and we do hereby authorize and request the Commissioner of Patents to issue U.S. patents to the above-mentioned Assignee agreeably with the terms of this assignment document. Further, Assignor assigns and transfers to the Assignee and the Assignee's legal representatives, successors and assigns the full and exclusive right to recover all past damages and other potential relief arising from the Intellectual Property assigned by this Agreement, including the full and exclusive right to pursue Civil Action Number 3:02cv3115, filed in US District Court for the Northern District of California (San Francisco), and naming Infosplit, Inc., as defendant.**

**ASSIGNOR HEREBY AUTHORIZES the Assignee to insert in Exhibit B to this assignment document the filing date and application number of any application if the date and number are unavailable at the time this document is executed.**

**UPON SAID CONSIDERATION, Assignor conveys to the Assignee the right to make application in its own behalf for protection of the Intellectual Property in the U.S. and countries foreign to the U.S. and to claim under the Patent Cooperation Treaty, the International Convention and/or other international arrangement for any such application the date of any earlier U.S. application (or any other application on the invention) to gain priority with respect to other applications.**

IN WITNESS WHEREOF, Assignor has caused one of its officers to hereunder set his hand on the date shown below.

Date Sept 27, 2002

Gerald W. Kearby CEO  
Title

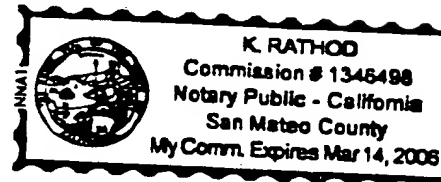
STATE OF CALIFORNIA )  
 ) SS:  
COUNTY OF SAN MATEO )

On this 27<sup>th</sup> day of SEPTEMBER, 2002, before me, a Notary Public in and for said county, appeared GERALD KEARBY, who is personally known to me to be the same person whose name is subscribed to the foregoing assignment document, and acknowledged that he/she signed and delivered the document as his/her free and voluntary act for the uses and purposes therein set forth.

K. Rathod  
Notary Public

{SEAL}

My Commission Expires: 03/14/2006



## **Exhibit B to Asset Purchase Agreement**

### **Select Liquid Audio Patents:**

U.S. Patent No. 5,852,800, to Modeste, et al.

**Title:** Method and Apparatus for user Controlled Modulation and Mixing for Digitally Stored Compressed Data

**Issued:** December 22, 1998

U.S. Patent No. 6,121,904, to Levine, E.

**Title:** Lossless Data Compression with Low Complexity

**Issued:** September 19, 2000

U.S. Patent No. 6,028,541, to Levine, E.

**Title:** Lossless Data Compression with Low Complexity

**Issued:** February 22, 2000

U.S. Patent No. 6,118,392, to Levine, E.

**Title:** Lossless Data Compression with Low Complexity

**Issued:** September 12, 2000

U.S. Patent No. 6,043,763, to Levine, E.

**Title:** Lossless Data Compression with Low Complexity

**Issued:** March 28, 2000

U.S. Patent No. 6,125,348, to Levine, E.

**Title:** Lossless Data Compression with Low Complexity

**Issued:** September 26, 2000

U.S. Patent No. 6,330,673, to Levine, E.

**Title:** Robust Watermark Method and Apparatus for Digital Signals

**Issued:** December 11, 2001

U.S. Patent No. 6,209,094, to Levine, E., et al.

**Title:** Robust Watermark Method and Apparatus for Digital Signals

**Issued:** March 27, 2001

U.S. Patent No. 6,345,100, to Levine, E.

**Title:** Robust Watermark Method and Apparatus for Digital Signals

**Issued:** February 5, 2002

U.S. Patent No. 6,320,965, to Levine, E.

**Title:** Secure Watermark Method and Apparatus for Digital Signals

**Issued:** November 20, 2001

U.S. Patent No. 6,219,634, to Levine, E.

**Title:** Efficient Watermark Method and Apparatus for Digital Signals

**Issued:** April 17, 2001

U.S. Patent No. 6,151,631, to Ansell, et al.

**Title: Territorial Determination of Remote Computer Location in a Wide Area Network for Conditional Delivery of Digitized Products**

**Issued: November 21, 2000**

U.S. Patent No. 6,266,644, to Levine, S.

**Title: Audio Encoding Apparatus and Methods**

**Issued: July 24, 2001**

U.S. Patent No. 6,330,675, to Wiser, et al.

**Title: System and Method for Secure Transfer of Digital Data to a Local Recordable Storage Medium**

**Issued: December 11, 2001**

U.S. Patent No. 6,367,019, to Ansell, et al.

**Title: Copy Security for Portable Music Players**

**Issued: April 2, 2002**

U.S. Patent No. 6,385,596, to Wiser, et al.

**Title: Secure Online Music Distribution System**

**Issued: May 7, 2002**

### **Select Liquid Audio Applications:**

U.S. Serial No. 09/522,061, filed March 9, 2000, by Wiser, et al.

**Title: Secure Online Music Distribution System**

**Atty Docket P-2110.01**

U.S. Application No. 08/966,072, filed July 11, 1997, by Wiser, et al.

**Title: Digital Audio Signal Filtering Mechanism and Method**

**Atty Docket P-2064**

U.S. Application No. 09/289,513, filed April 9, 1999, by Wiser, et al.

**Title: Secure Online Music Distribution System**

**Atty Docket P-2090**

U.S. Serial No. 09/551,260, filed April 18, 2000, by Ansell, et al.

**Title: Territorial Determination of Remote Computer Location in a Wide Area Network for Conditional Delivery of Digitized Products**

**Atty Docket P-2091.01**

U.S. Application No. 09/389,842, filed September 2, 1999, by Levine, E., et al.

**Title: Server Side Watermark Data Writing Method and Apparatus for Digital Signals**

**Atty Docket P-2100**

U.S. Application N . 09/468,279, filed December 20, 1999, by Ansell, et al.

**Title: Adaptable Security Mechanism for Preventing Unauthorized Access of Digital Data**

**Atty Docket P-2131**

U.S. Application No. 09/645,014, filed August 23, 2000, by Lucas, et al.  
**Title: Remote Software Installation and Maintenance**  
**Atty Docket P-2138D1**

U.S. Application No. 09/645,013, filed August 23, 2000, by Lucas, et al.  
**Title: Remote Software Installation and Maintenance**  
**Atty Docket P-2138D2**

U.S. Application No. 09/773,256, filed January 30, 2001, by Brownell, et al.  
**Title: Security Mechanism for Computer Processing Modules**  
**Atty Docket P-2170**

U.S. Provisional Application No. 60/353,581, filed January 30, 2002, by Brownell, et al.  
**Title: Digital Rights Management**  
**Atty Docket PR-2219**

### **Select Liquid Audio Foreign-Filed Applications:**

EP Application No. EP20000921844, filed April 7, 2000, naming Wiser, Cherenson, Ansell, and Cannon  
**Title: Secure Online Music Distribution System**  
**Atty Docket P-2090-EP**

Japanese Application No. 2000-611,258, filed November 2, 2001, naming Wiser, et al.  
**Title: Secure Online Music Distribution System**  
**Atty Docket P-2090-JP**

EP Application No. EP19990953187, filed October 15, 1999, naming Ansell and Cherenson  
**Title: Territorial Determination of Remote Computer Location in A Wide Area Network for Conditional Delivery of Digitized Products**  
**Atty Docket P-2091-EP**

Japanese Application No. 2000-576,334, filed October 15, 1999, naming Ansell, et al.  
**Title: Territorial Determination of Remote Computer Location in A Wide Area Network for Conditional Delivery of Digitized Products**  
**Atty Docket P-2091-JP**

PCT Application No. WO2000US08118, filed March 24, 2000, naming Ansell, Cherenson, Paley, Katz, Kelsey, and Schneier  
**Title: Copy Security for Portable Music Players**  
**Atty Docket P-2098-PCT**

EP Application No. EP20000918450, filed March 24, 2000, naming Ansell, Cherenson, Paley, Katz, Kelsey, and Schneier  
**Title: Copy Security for Portable Music Players**  
**Atty Docket P-2098-EP**



Japanese Application No. 2000-608,380, filed , naming Ansell, et al.

**Title: Copy Security for Portable Music Players**

**Atty Docket P-2098-JP**

PCT Application No. WO2000US28205, filed October 11, 2000, naming Ansell, et al.

**Title: Adaptable Security Mechanism for Preventing Unauthorized Access of Digital Data**

**Atty Docket P-2131-PCT**

Japanese Application No. 2001-547,236, filed June 20, 2002, naming Ansell, et al.

**Title: Adaptable Security Mechanism for Preventing Unauthorized Access of Digital Data**

**Atty Docket P-2131-JP**

EP Application No. EP20000976565, filed October 11, 2000, naming Ansell, et al.

**Title: Adaptable Security Mechanism for Preventing Unauthorized Access of Digital Data**

**Atty Docket P-2131-EP**

PCT Application No. WO2002US01746, filed January 22, 2002, naming Brownell, et al.

**Title: Security Mechanism for Computer Processing Modules**

**Atty Docket P-2170-PCT**